

IDS filed
5/12/03


PTO/SE/08B(10-01)

Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	09/396,196
		Filing Date	09/15/99
		First Named Inventor	Mittmann, et. al.
		Group Art Unit	1631
		Examiner Name	S. Zhou
		Attorney Docket Number	3101.1
Sheet	1	of	7

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
A	1	LIPSHUTZ RJ: Letter from Dr. Lipshutz to Dr. Carrano, August 22, 1994. Link	
	2	AFFYMETRIX: GeneChip® Assays and Controls Price List, November, 1997. Link	
	3	AFFYMETRIX: GeneChip® Arrays and Assays Product List, January, 1998. Link	
	4	AFFYMETRIX: GeneChip® Arrays and Assays Product List, November, 1998. Link	
	5	AFFYMETRIX: GeneChip® Arrays and Reagents, February, 1999. Link	
	6	AFFYMETRIX: GeneChip® Price Catalog (U.S. and Canada), July, 1999. Link	
	7	AFFYMETRIX: Addendum (U.S. and Canada) GeneChip® Arrays and Reagents, August, 1999. Link	
	8	AFFYMETRIX: GeneChip® Price Catalog (U.S. and Canada), January, 2000. Link	
	9	AFFYMETRIX: Affymetrix® Catalog Addendum GeneChip® Arrays and Reagents (U.S. and Canada), February, 2000. Link	
	10	AFFYMETRIX: Affymetrix® Product Catalog (Global), August, 2000. Link	
A	11	AFFYMETRIX: Affymetrix® Product Catalog (Global), January, 2001. Link	

Examiner Signature		Date Considered	3/2/04
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Sheet 2 of 7

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CA	12	AFFYMETRIX: Affymetrix® Product Catalog (Global), January, 2002. Link	
	13	AFFYMETRIX: Affymetrix® Product Catalog (Global), July, 2002. Link	
	14	AFFYMETRIX: Product Information GeneChip® HuSNP Mapping Assay, 1999. Link	
	15	AFFYMETRIX: Product Information GeneChip® GenFlex™ Tag Array, 2000. Link	
	16	AFFYMETRIX: Product Information GeneChip® Yeast Genome S98 Array, 2000. Link	
	17	AFFYMETRIX: Product Information GeneChip® HIV PRT Assay, 1997. Link	
	18	AFFYMETRIX: Product Information GeneChip® HIV PRT Plus, 1998. Link	
	19	AFFYMETRIX: Product Information GeneChip® p53 Assay, 1997. Link	
	20	AFFYMETRIX: Product Information GeneChip® p53 Probe Array and Reagents, 1998. Link	
	21	AFFYMETRIX: Product Information GeneChip® CYP450 Assay, 1997. Link	
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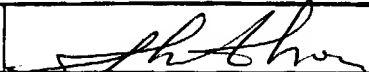
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CA	23	AFFYMETRIX: Product Information GeneChip® Hu6800 Array, 1998. Link	
	24	AFFYMETRIX: Product Information Human Genome U95 Set, 2000. Link	
	25	AFFYMETRIX: Product Information GeneChip® Human Genome U133 Set, 2001. Link	
	26	AFFYMETRIX: Product Information GeneChip® Human Genome Focus Array, 2002. Link	
	27	AFFYMETRIX: Product Information GeneChip® Human Cancer G110 Array, 1999. Link	
	28	AFFYMETRIX: Product Information Rat Neurobiology U34 Array, 2000. Link	
	29	AFFYMETRIX: Product Information GeneChip® Rat Genome U34 Array Set, 1999. Link	
	30	AFFYMETRIX: Product Information GeneChip® Test1, 1998. Link	
	31	AFFYMETRIX: Product Information GeneChip® Test2 Array, 1999. Link	
	32	AFFYMETRIX: Product Information GeneChip® Test3 Array, 2001. Link	
CA	33	AFFYMETRIX: Product Information GeneChip® Yeast Genome S98 Array, 1999. Link	

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**INFORMATION DISCLOSURE
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Sheet

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<i>PS</i>	34	AFFYMETRIX: Product Information GeneChip® Mu6500 Set, 1998. Link	
	35	AFFYMETRIX: Product Information GeneChip® Murine Genome U74 Set, 2001. Link	
	36	AFFYMETRIX: Product Information GeneChip® Murine 11k Set, 1998. Link	
	37	AFFYMETRIX: Product Information GeneChip® Murine 11k Set, 2001. Link	
	38	AFFYMETRIX: Product Information GeneChip® Murine 19k Set, 1998. Link	
	39	AFFYMETRIX: Product Information Arabidopsis Genome Array, 2000. Link	
	40	AFFYMETRIX: Product Information GeneChip® Arabidopsis ATH1 Genome Array, 2002. Link	
	41	AFFYMETRIX: Product Information E. coli Genome Array, 2000. Link	
	42	AFFYMETRIX: Product Information GeneChip® E. coli Antisense Genome Array, 2001. Link	
	43	AFFYMETRIX: Product Information GeneChip® P. aeruginosa Genome Array, 2001. Link	
<i>PS</i>	44	AFFYMETRIX: Product Information P. aeruginosa Genome Array, 2001. Link	

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			Group Art Unit	1631	
			Examiner Name	S. Zhou	
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✓	45	AFFYMETRIX: Product Information Drosophila Genome Array, 2000. Link	
	46	AFFYMETRIX: Product Information GeneChip® B. subtilis Genome Array, 2002. Link	
	47	AFFYMETRIX: Product Information GeneChip® C. elegans Genome Array, 2002. Link	
	48	AFFYMETRIX: Product Information GeneChip® Custom Arrays, 1998. Link	
	49	AFFYMETRIX: Product Information GeneChip® Custom Arrays, 2002. Link	
	50	AFFYMETRIX: Product Information GeneChip® Ye6100 Set, 1998. Link	
	51	AFFYMETRIX: Product Information GeneChip® Human 35K Set, 1998. Link	
	52	CRONIN MT, ET AL, "Cystic fibrosis mutation detection by hybridization to light-generated DNA probe arrays", Human Mutation, 1996, 7, 3, 244-55. Link	
	53	HACIA JG, ET AL, "Detection of heterozygous mutations in BRCA1 using high density oligonucleotide arrays and two-colour fluorescence analysis", Nature Genetics, 1996, 14, 4, 441-7. Link	
	54	KOZAL MJ, ET AL, "Extensive polymorphisms observed in HIV-1 clade B protease gene using high-density oligonucleotide arrays", Nature Medicine, 1996, 2, 7, 753-9. Link	
✓	55	LOCKHART DJ, ET AL, "Expression monitoring by hybridization to high-density oligonucleotide arrays", Nature Biotechnology, 1996, 14, 13, 1675-80. Link	

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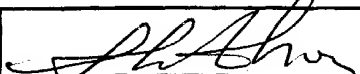
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		Filing Date	09/15/99
		First Named Inventor	Mittmann, et. al.
		Group Art Unit	1631
		Examiner Name	S. Zhou
Sheet 6 of 7	Attorney Docket Number	3101.1	

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS			
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IA	56	SHOEMAKER DD, ET AL, "Quantitative phenotypic analysis of yeast deletion mutants using a highly parallel molecular bar-coding strategy", Nature Genetics, 1996, 14, 4, 450-6. Link	
	57	WODICKA L, ET AL, "Genome-wide expression monitoring in Saccharomyces cerevisiae", Nature Biotechnology, 1997, 15, 13, 1359-67. Link	
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	60	HARMER SL, ET AL, "Orchestrated transcription of key pathways in Arabidopsis by the circadian clock", Science, 2000, 290, 5499, 2110-3. Link	
	61	RIENECK K, ET AL, "Massive parallel gene expression profiling of RINm5F pancreatic islet beta-cells stimulated with interleukin-1beta", Apms, 2000, 108, 12, 855-72. Link	
	62	RUDD KE, "New tools for an old workhorse", Nature Biotechnology, 2000, 18, 12, 1241-2. Link	
	63	SELINGER DW, ET AL, "RNA expression analysis using a 30 base pair resolution Escherichia coli genome array", Nature Biotechnology, 2000, 18, 12, 1262-8. Link	
	64	TRAVERS KJ, ET AL, "Functional and genomic analyses reveal an essential coordination between the unfolded protein response and ER-associated degradation", Cell, 2000, 101, 3, 249-58. Link	
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Sheet

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Application Number 09/396,196

Filing Date 09/15/99

First Named inventor Mittmann, et. al.

Group Art Unit 1631

Examiner Name S. Zhou

Attorney Docket Number 3101.1

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AS	67	MACDONALD TJ, ET AL, "Expression profiling of medulloblastoma: PDGFRA and the RAS/MAPK pathway as therapeutic targets for metastatic disease", Nature Genetics, 2001, 29, 2, 143-52. Link	
	68	NICULESCU AB, 3RD, ET AL, "The human genome: genetic testing and animal models", American Journal of Psychiatry, 2001, 158, 10, 1587. Link	
	69	STAMEY TA, ET AL, "Molecular genetic profiling of Gleason grade 4/5 prostate cancers compared to benign prostatic hyperplasia", Journal of Urology, 2001, 166, 6, 2171-7. Link	
	70	WELSH JB, ET AL, "Analysis of gene expression profiles in normal and neoplastic ovarian tissue samples identifies candidate molecular markers of epithelial ovarian cancer", Proceedings of the National Academy of Sciences, USA, 2001, 98, 3, 1176-81. Link	
	71	CHEE M, ET AL, "Accessing genetic information with high-density DNA arrays", Science, 1996, 274, 5287, 610-4. Link	
	72	CHO RJ, ET AL, "Parallel analysis of genetic selections using whole genome oligonucleotide arrays", Proceedings of the National Academy of Sciences of the United States of America, 1998, 95, 7, 3752-7. Link	
	73	BAKAY, ET AL, "Sources of variability and effect of experimental approach on expression profiling data interpretation", 2002, 3:4. Link	
	74	CARMEL, ET AL, "Gene expression profiling of acute spinal cord injury reveals spreading inflammatory signals and neuron loss", Physiol Genomics 2001, 7:201-213. Link	
AS	75	AFFYMETRIX, INC. Securities and Exchange Commission Filing S-3 filed on October 17, 1997, also available at http://www.sec.gov/Archives/edgar/data/913077/0001047469-97-001100.txt . Link	

U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No.	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
AS	76	US-5,143,854	09-01-1992	Pirrung et al. Link	
AS	77	US- 5,800,992	06-25-1996	Fodor et al. Link	

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**INFORMATION DISCLOSURE
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Sheet 7 of 7

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	71	CHEE M, ET AL. "Accessing genetic information with high-density DNA arrays". <i>Science</i> , 1996, 274, 5328, 640-4. Link	
	72	CHO RJ, ET AL. "Parallel analysis of genetic selections using whole genome oligonucleotide arrays". <i>Proceedings of the National Academy of Sciences of the United States of America</i> , 1998, 95, 7, 3752-7. Link	
	73	BAKAY, ET AL. "Sources of variability and effect of experimental approach on expression profiling data interpretation". 2002, 3-4. Link	
	74	CARMEL, ET AL. "Gene expression profiling of acute spinal cord injury reveals spreading inflammatory signals and neuron loss". <i>Physiol Genomics</i> 2001, 7:201-213. Link	
	75	AFFYMETRIX, INC. Securities and Exchange Commission Filing S-3 filed on October 17, 1997, also available at http://www.sec.gov/Archives/edgar/data/120777/000120777970011001/011001.txt . Link	

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	76	US-6,143,854	08-01-1992	Rimung et al. Link	
	77	US-5,800,892	06-25-1998	Fedor et al. Link	

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